

Agency Review

BDDS Approved Provider

Part 4 Services

Agency Name _____

Documentation of Criminal Histories

460 IAC 6-10-5 Documentation of criminal histories

- ☐ ☐ (a) A provider shall obtain a limited criminal history from the Indiana central repository for criminal history information from each employee, officer, or agent involved in the management, administration, or provision of services.
- ☐ ☐ (b) The limited criminal history shall verify that the employee, officer, or agent has not been **convicted** of the following:
 - (1) A sex crime (IC 35-42-4).
 - (2) Exploitation of an endangered adult (IC 35-46-1-12).
 - (3) Failure to report:
 - (A) battery, neglect, or exploitation of an endangered adult (IC 35-46-1-13); or
 - (B) abuse or neglect of a child (IC 31-33-22-1).
 - (4) Theft (IC 35-43-4), if the person's conviction for theft occurred less than ten (10) years before the person's employment application date, except as provided in IC 16-27-2-5(a)(5).
 - (5) Murder (IC 35-42-1-1)
 - (6) Voluntary manslaughter (IC 35-42-1-3)
 - (7) Involuntary manslaughter (IC 35-42-1-4)
 - (8) Felony battery
 - (9) A felony offense relating to a controlled substance
- ☐ ☐ (c) A provider shall also obtain a criminal history check from each county in which an employee, officer, or agent involved in the management, administration, or provision of services has resided during the three (3) years before the criminal history check is requested from the county.
- ☐ ☐ (d) A provider shall have a report from the state nurse aid registry of the Indiana state department of health verifying that each direct care staff has not had a finding entered into the state nurse aide registry.

Legal Documents

- ☐ **If applicant is applying as a corporation, LLC, or partnership**, submit:
 - ☐ certificate of incorporation/authority from the Secretary of State of Indiana
 - ☐ verification of the tax ID # from the IRS
- ☐ **If applicant is a corporation using an assumed business name (DBA)**, submit
 - ☐ verification of the DBA from the Secretary of State of Indiana
 - ☐ proof of registration in the office of the County Recorder of each county in which a place of business is located
- ☐ **If applicant is a sole proprietorship using an assumed business name (DBA)**, submit
 - ☐ proof of registration in the office of the County Recorder(s) only

Insurance Coverage

460 IAC 6-12-2 Property and personal liability insurance

A provider shall secure insurance to cover:

- | | | |
|--------------------------|--------------------------|-----------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | (1) personal injury; |
| <input type="checkbox"/> | <input type="checkbox"/> | (2) loss of life; or |
| <input type="checkbox"/> | <input type="checkbox"/> | (3) property damage; |
| <input type="checkbox"/> | <input type="checkbox"/> | (4) auto insurance(if applicable) |

to an individual caused by

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | fire, |
| <input type="checkbox"/> | <input type="checkbox"/> | accident, or |
| <input type="checkbox"/> | <input type="checkbox"/> | other casualty arising from the provision of services to the individual by the provider. |

Financial Documentation

460 IAC 6-11-2 Disclosure of financial information

(a) A provider shall maintain and, upon the BDDS's request, shall make available to the BDDS the following information concerning the provider:

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | (1) Financial status. |
| <input type="checkbox"/> | <input type="checkbox"/> | (2) Current expenses and revenues. |
| <input type="checkbox"/> | <input type="checkbox"/> | (3) Projected budgets outlining future operations. |
| <input type="checkbox"/> | <input type="checkbox"/> | (4) Credit history and the ability to obtain credit. |

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | (b) A provider shall maintain financial records in accordance with generally accepted accounting and bookkeeping practices. |
| <input type="checkbox"/> | <input type="checkbox"/> | (c) The financial status of a provider shall be audited according to state board of accounts requirements and procedures. |

460 IAC 6-11-3 Financial stability

- | | | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | <i>A provider shall be financially stable, with the documented ability to deliver services without interruption for at least two (2) months without payment for services.</i> |
|--------------------------|--------------------------|---|

Note: There should be a statement from the provider agency or an auditor that the agency would be able to continue to function and provide services. If there is no statement, the financial information can be used to determine the ability. The agency should show that they would be stable for 2 months with no payment from the State or Medicaid waiver funding sources for which they are applying. This is meant to imply stability for **ANY 2-month period**, not simply the first 2-months of existence or certification.

Proof of Managerial Ability

All applications must include supplemental proof that the principal parties involved possess the managerial abilities to deliver requested services and to manage the business aspects of being a provider.

460 IAC 6-6-2 Initial application

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | (3) Supporting documents specified on the application form to demonstrate the applicant's programmatic, financial and managerial ability to provide supported living services or supports as set out in this article |
|--------------------------|--------------------------|--|

Organizational Chart

460 IAC 6-10-6 Provider organizational chart

- | | | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | (a) A provider shall maintain a current organizational chart, including parent organizations and subsidiary organizations. |
| <input type="checkbox"/> | <input type="checkbox"/> | (b) Upon request, a provider shall supply the BDDS with a copy of the chart described in subsection (a). |

Notes: The org chart should show position names as well as employee names if any company positions are filled. The chart should show all positions from the executive level down to the direct care staff. There should be no position mentioned in the proposal, the operations manual, or the staff manual that does not appear in the org chart, unless otherwise explained. For example, "The Information Officer is in charge of ensuring this agency remains HIPAA compliant. [...] The duties of the Information Officer, as required by these bylaws, will be the responsibility of the Director until this position is officially created". There can be multiple org charts. The connection between multiple Org charts must be easily understood and there should be no discrepancies between them. As lists of job positions cannot accurately represent the supervisory structure of an agency, the Review team expects an **actual chart**.

** Personnel **

Per the Application, this section must also include:

- ☐ ☐ a job description for each position,
- ☐ ☐ major duties required of the position,
- ☐ ☐ responsibilities of the employee in the position,
- ☐ ☐ the name and/or title of the supervisor to whom the employee in the position must report.
- ☐ ☐ Positions should match the positions noted on the organizational chart.

Qualifications

460 IAC 6-14-3 Documentation of qualifications

A provider shall maintain documentation that:

- ☐ ☐ (1) the provider meets the requirements for providing services under this article; **and**
- ☐ ☐ (2) the provider's employees or agents meet the requirements for providing services under this article.

Note: All applications must include Qualifications for **each** service requested.

This section requires the service to be identified and the staffing qualifications for each identified requested service per 460 IAC 6-5 and 6-14.

Qualifications are met		Submitted documentation does not comply with				
		BDDS Service Definition	Waiver Manual	Indiana Code	Federal Code	See Comments
<input type="checkbox"/>	Applied Behavior Analysis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Behavioral Supports I	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Behavioral Supports II	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Environmental Modifications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	E-Mod Assessments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Health Care Coordination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Music Therapy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Occupational Therapy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Personal Emergency Response System	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Physical Therapy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Recreational Therapy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Specialized Medical Equipment /Supplies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	SMES Assessment, Inspection, and Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Speech/Language Therapy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Therapy Services	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Policies and Procedures Manual - CODE of ETHICS

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-14-7 Policies and procedures for code of ethics

- ☐ ☐ A provider shall develop and enforce policies and procedures regarding a code of ethics for agents and employees. The policies and procedures shall be consistent with 460 IAC 6-36.

460 IAC 6-36-2 Code of ethics

A provider, in the provision of services under this article, shall abide by the following code of ethics:

- ☐ ☐ (1) A provider shall provide professional services with objectivity and with respect for the unique needs and values of the individual being provided services.
- ☐ ☐ (2) A provider shall avoid discrimination on the basis of factors that are irrelevant to the provision of services, including, but not limited to:
 - ☐ ☐ (A) race;
 - ☐ ☐ (B) creed;
 - ☐ ☐ (C) gender;
 - ☐ ☐ (D) age; or
 - ☐ ☐ (E) disability
- ☐ ☐ (3) A provider shall provide sufficient objective information to enable an individual, or the individual's guardian, to make informed decisions.
- ☐ ☐ (4) A provider shall accurately present professional qualifications and credentials.
- ☐ ☐ (5) A provider shall accurately present professional qualifications of all employees or agents.
- ☐ ☐ (6) A provider shall require all employees or agents to assume responsibility and accountability for personal competence in the practice of the person's profession and in the provision of services under this article.
- ☐ ☐ (7) A provider shall require employees or agents to maintain knowledge and skills required for continued professional competence including all requirements necessary for a licensed or accredited professional to maintain the professional's licensure or accreditation.
- ☐ ☐ (8) A provider shall require professional, licensed, or accredited employees or agents to adhere to acceptable standards for the employee or agent's area of professional practice.
- ☐ ☐ (9) A provider shall require employees or agents to comply with all laws and regulations governing a licensed or accredited person's profession.
- ☐ ☐ (10) A provider shall require all employees or agents to maintain the confidentiality of individual information consistent with the standards of this article and all other laws and regulations governing confidentiality of individual information.
- ☐ ☐ (11) A provider shall require all employees or agents to conduct all practice with honesty, integrity, and fairness.
- ☐ ☐ (12) A provider shall require all employees or agents to fulfill professional commitments in good faith.
- ☐ ☐ (13) A provider shall require all employees or agents to inform the public and colleagues of services by use of factual information.
- ☐ ☐ (14) A provider shall not advertise or market services in a misleading manner.
- ☐ ☐ (15) A provider providing services shall not engage in uninvited solicitation of potential clients, who are vulnerable to undue influence, manipulation, or coercion.
- ☐ ☐ (16) A provider shall make reasonable efforts to avoid bias in any kind of professional evaluation.
- ☐ ☐ (17) A provider shall notify the appropriate party, which may include:
 - ☐ ☐ (A) the division;
 - ☐ ☐ (B) the Indiana state department of health;
 - ☐ ☐ (C) a licensing authority;
 - ☐ ☐ (D) an accrediting agency;
 - ☐ ☐ (E) an employer;
 - ☐ ☐ (F) the office of the attorney general, consumer protection division;of any unprofessional conduct that may jeopardize an individual's safety or influence the individual or individual's representative in any decision making process.

Policies and Procedures Manual – Rights of an Individual

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-8-2 Constitutional and statutory rights

- ☐ ☐ (a) A provider shall ensure that an individual's rights as guaranteed by the Constitution of the United States and the Constitution of Indiana are not infringed upon.
- ☐ (b) A provider shall ensure that:
 - ☐ ☐ (1) an individual's rights as set out in IC 12-27 are not infringed upon; and
 - ☐ ☐ (2) an individual has the ability to exercise those rights as provided in IC 12-27.

460 IAC 6-8-3 Promoting the exercise of rights

- ☐ ☐ (1) Provide an individual with humane care and protection from harm.
- ☐ (2) Provide services that:
 - ☐ ☐ (A) are meaningful and appropriate; and
 - ☐ (B) comply with:
 - ☐ ☐ (i) standards of professional practice;
 - ☐ ☐ (ii) guidelines established by accredited professional organizations if applicable; and
 - ☐ ☐ (iii) budgetary constraints;in a safe, secure, and supportive environment.
- ☐ ☐ (3) Obtain written consent from an individual, or the individual's legal representative, if applicable, before releasing information from the individual's records unless the person requesting release of the records is authorized by law to receive the records without consent.
- ☐ ☐ (4) Process and make decisions regarding complaints filed by an individual within two (2) weeks after the provider receives the complaint.
- ☐ ☐ (5) Inform an individual, in writing and in the individual's usual mode of communication, of:
 - ☐ ☐ (A) the individual's constitutional and statutory rights using a form approved by the BDDS; and
 - ☐ ☐ (B) the complaint procedure established by the provider for processing complaints.

Policies and Procedures Manual – Protection of an Individual

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-9-2 Adoption of policies and procedures to protect individuals

- ☐ ☐ (a) A provider shall adopt written policies and procedures regarding the requirements of sections 3 and 4 of this rule.
- ☐ ☐ (b) A provider shall require the provider's employees or agents to be familiar with and comply with the policies and procedures required by subsection (a).
- ☐ ☐ (c) Beginning on the date services for an individual commence and at least one (1) time a year thereafter, a provider shall inform:
 - ☐ ☐ (1) the individual, in writing and in the individual's usual mode of communication;
 - ☐ ☐ (2) the individual's parent, if the individual is less than eighteen (18) years of age, or if the individual's parent is the individual's legal representative; and
 - ☐ ☐ (3) the individual's legal representative if applicable;of the policies and procedures adopted pursuant to this section.

460 IAC 6-9-3 Prohibiting violations of individual rights

- (a) A provider shall not:
 - ☐ ☐ (1) abuse, neglect, exploit, or mistreat an individual; or
 - ☐ ☐ (2) violate an individual's rights.
- (b) A provider who delivers services through employees or agents shall adopt policies and procedures that prohibit:
 - ☐ ☐ (1) abuse, neglect, exploitation, or mistreatment of an individual; or
 - ☐ ☐ (2) violation of an individual's rights.
- (c) Practices prohibited under this section include the following:
 - ☐ ☐ (1) Corporal punishment inflicted by the application of painful stimuli to the body, which includes:
 - ☐ ☐ (A) forced physical activity;
 - ☐ ☐ (B) hitting;
 - ☐ ☐ (C) pinching;
 - ☐ ☐ (D) the application of painful or noxious stimuli;
 - ☐ ☐ (E) the use of electric shock; or
 - ☐ ☐ (F) the infliction of physical pain.
 - ☐ ☐ (2) Seclusion by placing an individual alone in a room or other area from which exit is prevented.
 - ☐ ☐ (3) Verbal abuse, including screaming, swearing, name-calling, belittling, or other verbal activity that may cause damage to an individual's self-respect or dignity.
 - ☐ ☐ (4) A practice that denies an individual any of the following without a physician's order:
 - ☐ ☐ (A) Sleep.
 - ☐ ☐ (B) Shelter.
 - ☐ ☐ (C) Food.
 - ☐ ☐ (D) Drink.
 - ☐ ☐ (E) Physical movement for prolonged periods of time.
 - ☐ ☐ (F) Medical care or treatment.
 - ☐ ☐ (G) Use of bathroom facilities.
 - ☐ ☐ (5) Work or chores benefiting others without pay unless:
 - ☐ ☐ (A) the provider has obtained a certificate from the United States Department of Labor authorizing the employment of workers with a disability at special minimum wage rates;
 - ☐ ☐ (B) the services are being performed by an individual in the individual's own residence as a normal and customary part of housekeeping and maintenance duties; or
 - ☐ ☐ (C) an individual desires to perform volunteer work in the community.

Policies and Procedures Manual - Protection of an Individual

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-9-4 Systems for protecting individuals

(a) Except as specified in this section, this section applies to all providers of supported living services and supports.

(b) A provider shall require that at regular intervals, as specified by the individual's ISP, the individual be informed of the following:

- ☐ ☐ (1) The individual's medical condition.
- ☐ ☐ (2) The individual's developmental and behavioral status.
- ☐ ☐ (3) The risks of treatment.
- ☐ ☐ (4) The individual's right to refuse treatment.

(c) **Except** for providers of:

- (1) occupational therapy services;
- (2) physical therapy services;
- (3) music therapy services; and
- (4) speech-language therapy services;

☐ ☐ a provider shall establish a protocol for ensuring that an individual is free from unnecessary medications and physical restraints.

(d) **Except** for providers of:

- (1) occupational therapy services;
- (2) physical therapy services;
- (3) music therapy services; and
- (4) speech-language therapy services;

☐ ☐ a provider shall establish a system to reduce an individual's dependence on medications and physical restraints.

☐ ☐ (e) A provider shall establish a system to ensure that an individual has the opportunity for personal privacy.

☐ ☐ (f) A provider shall establish a system to:

- ☐ ☐ (1) ensure that an individual is not compelled to perform services for a provider; and
- ☐ ☐ (2) provide that, if an individual works voluntarily for a provider, the individual is compensated:
 - ☐ ☐ (A) at the prevailing wage for the job; and
 - ☐ ☐ (B) commensurate with the individual's abilities;unless the provisions of section 3(c)(5) of this rule are met.

☐ ☐ (g) A provider shall establish a system that ensures that an individual has:

- ☐ ☐ (1) the opportunity to communicate, associate, and meet privately with persons of the individual's choosing;
- ☐ ☐ (2) the means to send and receive unopened mail; and
- ☐ ☐ (3) access to a telephone with privacy for incoming and outgoing local and long distance calls at the individual's expense.

☐ ☐ (h) A provider shall establish a system for providing an individual with the opportunity to participate in social, religious, and community activities.

☐ ☐ (i) A provider shall establish a system that ensures that an individual has the right to retain and use appropriate personal possessions and clothing.

☐ ☐ (j) A provider shall establish a system for protecting an individual's funds and property from misuse or misappropriation.

Policies and Procedures Manual – Protection of an Individual

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-9-5 Incident reporting

(a) An incident described as follows shall be reported to the BDDS on the incident report form prescribed by the BDDS:

[...]

- ☐ ☐ (13) Inadequate staff support for an individual, including inadequate supervision, with the potential for:
 - ☐ ☐ (A) significant harm or injury to an individual; or
 - ☐ ☐ (B) death of an individual.
- ☐ ☐ (14) Inadequate medical support for an individual, including failure to obtain:
 - ☐ ☐ (A) necessary medical services;
 - ☐ ☐ (B) routine dental or physician services; or
 - ☐ ☐ (C) medication timely resulting in missed medications.
- ☐ ☐ (15) Use of any PRN medication related to an individual's behavior. An incident report related to the use of PRN medication related to an individual's behavior must include the following information:
 - ☐ ☐ (A) The length of time of the individual's behavior that resulted in the use of the PRN medication related to the individual's behavior.
 - ☐ ☐ (B) A description of what precipitated the behavior resulting in the use of PRN medication related to the individual's behavior.
 - ☐ ☐ (C) A description of the steps that were taken prior to the use of the PRN medication to avoid the use of a PRN medication related to the individual's behavior.
 - ☐ ☐ (D) If a PRN medication was used before a medical or dental appointment, a description of the desensitization plan in place to lessen the need for a PRN medication for a medical or dental appointment.
 - ☐ ☐ (E) The criteria the provider has in place for use of a PRN medication related to an individual's behavior.
 - ☐ ☐ (F) A description of the provider's PRN medication protocol related to an individual's behavior, including the provider's:
 - ☐ ☐ (i) notification process regarding the use of a PRN medication related to an individual's behavior; and
 - ☐ ☐ (ii) approval process for the use of a PRN medication related to an individual's behavior.
 - ☐ ☐ (G) The name and title of the staff approving the use of the PRN medication related to the individual's behavior.
 - ☐ ☐ (H) The medication and dosage that was approved for the PRN medication related to the individual's behavior.
 - ☐ ☐ (I) The date and time of any previous PRN medication given to the individual related to the individual's behavior based on current records.

Policies and Procedures Manual – Protection of an Individual

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-9-5 Incident reporting

- ☐ ☐ (b) An incident described in subsection (a) shall be reported by a provider or an employee or agent of a provider who:
 - ☐ ☐ (1) is providing services to the individual at the time of the incident; or
 - ☐ ☐ (2) becomes aware of or receives information about an alleged incident.
- ☐ ☐ (c) An initial report regarding an incident shall be submitted within twenty-four (24) hours of:
 - ☐ ☐ (1) the occurrence of the incident; or
 - ☐ ☐ (2) the reporter becoming aware of or receiving information about an incident.
- ☐ ☐ (d) The provider providing case management services to an individual shall submit a follow-up report concerning the incident on the BDDS's follow-up incident report form at the following times:
 - ☐ ☐ (1) Within seven (7) days of the date of the initial report.
 - ☐ ☐ (2) Every seven (7) days thereafter until the incident is resolved.
- ☐ ☐ (e) All information required to be submitted to the BDDS shall also be submitted to the provider of case management services to the individual.

460 IAC 6-9-6 Transfer of individual's records upon change of provider

- ☐ ☐ (a) If an individual changes providers for any supported living service or support, the new provider shall:
 - ☐ ☐ (1) discuss with the individual the new provider's need to obtain a copy of the previous provider's records and files concerning the individual;
 - ☐ ☐ (2) provide the individual with a written form used to authorize the previous provider's release of a copy of the records and files concerning the individual to the new provider; and
 - ☐ ☐ (3) request the individual to sign the release form.
- ☐ ☐ (b) Upon receipt of a written release signed by the individual, a provider shall forward a copy of all of the individual's records and files to the new provider no later than seven (7) days after receipt of the written release signed by the individual.

460 IAC 6-9-7 Notice of termination of services

- ☐ ☐ (a) A provider shall give an individual and an individual's representative at least sixty (60) days' written notice before terminating the individual's services if the services being provided to the individual are of an ongoing nature.
- ☐ ☐ (b) If the provider is providing any services to the individual, besides case management services, before terminating services the provider shall:
 - ☐ ☐ (1) participate in the development of a new or updated ISP prior to terminating services; and
 - ☐ ☐ (2) continue providing services to the individual until a new provider providing similar services is in place.
- ☐ ☐ (c) If the provider is providing case management services to the individual, before terminating services the provider shall:
 - ☐ ☐ (1) participate in a team meeting in which the individual's new provider providing case management provider is present; and
 - ☐ ☐ (2) coordinate the transfer of case management services to the new provider providing case management services.

Policies and Procedures Manual – General Administrative

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-10-1 Applicability

This rule applies to all supported living services and supports.

460 IAC 6-10-2 Documentation of approvals

- ☐ ☐ A provider shall maintain documentation that the BDDS has approved the provider for each service provided.

460 IAC 6-10-3 Compliance with laws

- ☐ ☐ A provider shall comply with all applicable state and federal statutes, rules, regulations, and requirements, including all applicable provisions of the federal Americans with Disabilities Act (ADA),

460 IAC 6-10-4 Compliance with state Medicaid plan; Medicaid waivers

- ☐ ☐ A provider shall comply with the provisions of:
 - ☐ ☐ (1) the state Medicaid plan; and
 - ☐ ☐ (2) any Medicaid waiver applicable to the provider's services.

460 IAC 6-10-5 Documentation of criminal histories

- ☐ ☐ (a) A provider shall obtain a limited criminal history from the Indiana central repository for criminal history information from each employee, officer, or agent involved in the management, administration, or provision of services.
- ☐ ☐ (b) The limited criminal history shall verify that the employee, officer, or agent has not been convicted of the following:
 - ☐ ☐ (1) A sex crime (IC 35-42-4).
 - ☐ ☐ (2) Exploitation of an endangered adult (IC 35-46-1-12).
 - ☐ ☐ (3) Failure to report:
 - ☐ ☐ (A) battery, neglect, or exploitation of an endangered adult (IC 35-46-1-13); or
 - ☐ ☐ (B) abuse or neglect of a child (IC 31-33-22-1).
 - ☐ ☐ (4) Theft (IC 35-43-4), if the person's conviction for theft occurred less than ten (10) years **before the person's employment application date**, except as provided in IC 16-27-2-5(a)(5).
 - ☐ ☐ (5) Murder (IC 35-42-1-1).
 - ☐ ☐ (6) Voluntary manslaughter (IC 35-42-1-3).
 - ☐ ☐ (7) Involuntary manslaughter (IC 35-42-1-4).
 - ☐ ☐ (8) Felony battery.
 - ☐ ☐ (9) A felony offense relating to a controlled substance.
- ☐ ☐ (c) A provider shall also obtain a criminal history check from each county in which an employee, officer, or agent involved in the management, administration, or provision of services has resided during the three (3) years before the criminal history check is requested from the county.
- ☐ ☐ (d) A provider shall have a report from the state nurse aid registry of the Indiana state department of health verifying that each direct care staff has not had a finding entered into the state nurse aide registry.

460 IAC 6-10-6 Provider organizational chart

- ☐ ☐ (a) A provider shall maintain a current organizational chart, including parent organizations and subsidiary organizations.
- ☐ ☐ (b) Upon request, a provider shall supply the BDDS with a copy of the chart described in subsection (a).

Policies and Procedures Manual – General Administrative

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-10-7 Collaboration and quality control

- ☐ ☐ (a) A provider for an individual shall collaborate with the individual's other service providers to provide services to the individual consistent with the individual's ISP.
- ☐ ☐ (b) A provider for an individual shall give the individual's provider of case management services access to the provider's quality assurance and quality improvement procedures.
- ☐ ☐ (c) If a provider administers medication to an individual, the provider for the individual shall implement the medication administration system designed by the individual's provider responsible for medication administration.
- ☐ ☐ (d) If applicable, a provider for an individual shall implement the seizure management system designed by the individual's provider responsible for seizure management.
- ☐ ☐ (e) If applicable, a provider for an individual shall implement the health-related incident management system designed by the individual's provider responsible for health-related incident management.
- ☐ ☐ (f) If applicable, a provider for an individual shall implement the behavioral support plan designed by the individual's provider of behavioral support services.
- ☐ ☐ (g) If an individual dies, a provider shall cooperate with the provider responsible for conducting an investigation into the individual's death pursuant to 460 IAC 6-25-9.

460 IAC 6-10-8 Resolution of disputes

- ☐ ☐ (a) If a dispute arises between or among providers, the dispute resolution process set out in this section shall be implemented.
- ☐ ☐ (b) The resolution of a dispute shall be designed to address an individual's needs.
- ☐ ☐ (c) The parties to the dispute shall attempt to resolve the dispute informally through an exchange of information and possible resolution.
- ☐ ☐ (d) If the parties are not able to resolve the dispute within fifteen (15) days:
 - ☐ ☐ (1) each party shall document:
 - ☐ ☐ (A) the issues in the dispute;
 - ☐ ☐ (B) their positions; and
 - ☐ ☐ (C) their efforts to resolve the dispute; and
 - ☐ ☐ (2) the parties shall refer the dispute to the individual's support team for resolution.
- ☐ ☐ (e) The parties shall abide by the decision of the individual's support team.
- ☐ ☐ (f) If an individual's support team cannot resolve the matter within fifteen (15) days after the dispute is referred to the individual's support team, then the parties shall refer the matter to the individual's service coordinator for resolution of the dispute.
- ☐ ☐ (g) The service coordinator shall make a decision within fifteen (15) days after the dispute is referred to the service coordinator and give the parties notice of the service coordinator's decision pursuant to IC 4-21.5.
- ☐ ☐ (h) Any party adversely affected or aggrieved by the service coordinator's decision may request administrative review of the service coordinator's decision within fifteen (15) days after the party receives written notice of the service coordinator's decision.
- ☐ ☐ (i) Administrative review shall be conducted pursuant to IC 4-21.5.

460 IAC 6-10-9 Automation standards

- ☐ ☐ A provider shall comply with all automation standards and requirements prescribed by the applicable funding agency concerning documentation and processing of services provided under this article.

Policies and Procedures Manual – General Administrative

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-10-10 Quality assurance and quality improvement system

- ☐ ☐ (a) A provider shall have an internal quality assurance and quality improvement system that is:
 - ☐ ☐ (1) focused on the individual; and
 - ☐ ☐ (2) appropriate for the services being provided.
- ☐ ☐ (b) The system described in subsection (a) shall include at least the following elements:
 - ☐ ☐ (1) An annual survey of individual satisfaction.
 - ☐ ☐ (2) Records of the findings of annual individual satisfaction surveys.
 - ☐ ☐ (3) Documentation of efforts to improve service delivery in response to the survey of individual satisfaction.
 - ☐ ☐ (4) An assessment of the appropriateness and effectiveness of each service provided to an individual.
 - ☐ ☐ (5) A process for:
 - ☐ ☐ (A) analyzing data concerning reportable incidents;
 - ☐ ☐ (B) developing recommendations to reduce the risk of future incidents; and
 - ☐ ☐ (C) reviewing recommendations to assess their effectiveness.
 - ☐ ☐ (6) **If medication is administered** to an individual by a provider, a process for:
 - ☐ ☐ (A) analyzing medication errors;
 - ☐ ☐ (B) developing recommendations to reduce the risk of future medication errors; and
 - ☐ ☐ (C) reviewing the recommendations to assess their effectiveness.
 - ☐ ☐ (7) **If behavioral support services are provided** by a provider, a process for:
 - ☐ ☐ (A) analyzing the appropriateness and effectiveness of behavioral support techniques used for an individual;
 - ☐ ☐ (B) developing recommendations concerning the behavioral support techniques used with an individual; and
 - ☐ ☐ (C) reviewing the recommendations to assess their effectiveness.
 - ☐ ☐ (8) **If community habilitation and participation services or residential habilitation and support services are provided** by the provider, a process for:
 - ☐ ☐ (A) analyzing the appropriateness and effectiveness of the instructional techniques used with an individual;
 - ☐ ☐ (B) developing recommendations concerning the instructional techniques used for an individual; and
 - ☐ ☐ (C) reviewing the recommendations to assess their effectiveness.

460 IAC 6-10-11 Prohibition against office in residence of individual

A provider shall not:

- ☐ ☐ (1) maintain an office in an individual's residence from which the individual is excluded from entering or from using any or all equipment contained in the office; or
- ☐ ☐ (2) conduct the provider's business operations not related to services to the individual in the individual's residence.

460 IAC 6-10-12 Human rights committee

- ☐ ☐ Beginning July 1, 2004, a provider shall cooperate with the division's or the BDDS's regional human rights committee for the geographic area or areas in which the provider is providing services under this article.

Policies and Procedures Manual – General Administrative

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-10-13 Emergency behavioral support

- ☐ ☐ (a) In an emergency, chemical restraint, physical restraint, or removal of an individual from the individual's environment may be used:
 - ☐ ☐ (1) without the necessity of a behavioral support plan; and
 - ☐ ☐ (2) only to prevent significant harm to the individual or others.
- ☐ ☐ (b) The individual's support team shall meet not later than five (5) working days after an emergency chemical restraint, physical restraint, or removal of an individual from the environment in order to:
 - ☐ ☐ (1) review the circumstances of the emergency chemical restraint, physical restraint, or removal of an individual;
 - ☐ ☐ (2) determine the need for a:
 - ☐ ☐ (A) functional analysis;
 - ☐ ☐ (B) behavioral support plan; or
 - ☐ ☐ (C) both; and
 - ☐ ☐ (3) document recommendations.
- ☐ ☐ (c) If a provider of behavioral support services is not a member an individual's support team, a provider of behavioral support services must be added to the individual's support team.
- ☐ ☐ (d) Based on the recommendation of the support team, a provider of behavioral support services shall:
 - ☐ ☐ (1) complete a functional analysis within thirty (30) days; and
 - ☐ ☐ (2) make appropriate recommendations to the support team.
- ☐ ☐ (e) The individual's support team shall:
 - ☐ ☐ (1) document the recommendations of the behavioral support services provider; **and**
 - ☐ ☐ (2) design an accountability system to ensure implementation of the recommendations.

Policies and Procedures Manual - Qualifications and Training

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-14-2 Requirement for qualified personnel

A provider shall ensure that services provided to an individual:

- ☐ ☐ (1) meet the needs of the individual;
- ☐ ☐ (2) conform to the individual's ISP; and
- ☐ ☐ (3) are provided by qualified personnel as required under this article.

460 IAC 6-14-3 Documentation of qualifications

A provider shall maintain documentation that:

- ☐ ☐ (1) the provider meets the requirements for providing services under this article; **and**
- ☐ ☐ (2) the provider's employees or agents meet the requirements for providing services under this article.

460 IAC 6-14-4 Training

- ☐ ☐ (a) **A provider shall train the provider's employees or agents** in the protection of an individual's rights, including how to:
 - ☐ ☐ (1) respect the dignity of an individual;
 - ☐ ☐ (2) protect an individual from abuse, neglect, and exploitation;
 - ☐ ☐ (3) implement person centered planning and an individual's ISP; and
 - ☐ ☐ (4) communicate successfully with an individual.
- ☐ ☐ (b) **A provider that develops training outcomes and objectives for an individual** shall train the provider's employees or agents in:
 - ☐ ☐ (1) selecting specific objectives;
 - ☐ ☐ (2) completing task analysis;
 - ☐ ☐ (3) appropriate locations for instruction; and
 - ☐ ☐ (4) appropriate documentation of an individual's progress on outcomes and objectives.
- ☐ ☐ (c) **A provider shall train direct care staff** in providing a healthy and safe environment for an individual, including how to:
 - ☐ ☐ (1) administer medication, monitor side effects, and recognize and prevent dangerous medication interactions;
 - ☐ ☐ (2) administer first aid;
 - ☐ ☐ (3) administer cardiopulmonary resuscitation;
 - ☐ ☐ (4) practice infection control;
 - ☐ ☐ (5) practice universal precautions;
 - ☐ ☐ (6) manage individual-specific treatments and interventions, including management of an individual's:
 - ☐ ☐ (A) seizures;
 - ☐ ☐ (B) behavior;
 - ☐ ☐ (C) medication side effects;
 - ☐ ☐ (D) diet and nutrition;
 - ☐ ☐ (E) swallowing difficulties;
 - ☐ ☐ (F) emotional and physical crises; and
 - ☐ ☐ (G) significant health concerns; and
 - ☐ ☐ (7) conduct and participate in emergency drills and evacuations.
- ☐ ☐ (d) **Applicable training as required in this section shall be completed prior to any person working with an individual.**

Policies and Procedures Manual – Staff Requirements, Conflicts of Interest, and Ethics

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-14-5 Requirements for direct care staff

All direct care staff working with individuals shall meet the following requirements:

- ☐ ☐ (1) Be at least eighteen (18) years of age.
- ☐ ☐ (2) Demonstrate the ability to communicate adequately in order to:
 - ☐ ☐ (A) complete required forms and reports of visits; and
 - ☐ ☐ (B) follow oral or written instructions.
- ☐ ☐ (3) Demonstrate the ability to provide services according to the individual's ISP.
- ☐ ☐ (4) Demonstrate willingness to accept supervision.
- ☐ ☐ (5) Demonstrate an interest in and empathy for individuals.

460 IAC 6-14-6 Policies and procedures for conflicts of interest

- ☐ ☐ A provider shall develop and enforce policies and procedures regarding conflicts of interest and the disclosure of possible conflicts of interest for all of the provider's employees or agents.

460 IAC 6-14-7 Policies and procedures for code of ethics

- ☐ ☐ A provider shall develop and enforce policies and procedures regarding a code of ethics for agents and employees. The policies and procedures shall be consistent with 460 IAC 6-36.

*** * * Only Required If The Applicant Is An Organization * * ***

Policies and Procedures Manual - Personnel Files

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-15-2 Maintenance of personnel files

- ☐ ☐ (a) A provider shall maintain in the provider's office files for each employee or agent of the provider.
- ☐ ☐ (b) The provider's files for each employee or agent shall contain the following:
 - ☐ ☐ (1) A negative tuberculosis screening
 - ☐ ☐ prior to providing services and
 - ☐ ☐ updated in accordance with recommendations of Centers for Disease Control.
 - ☐ ☐ (2) Cardiopulmonary resuscitation certification and recertification,
 - ☐ ☐ updated every two (2) years,
 - ☐ ☐ for each employee or agent who works with individuals.
 - ☐ ☐ (3) Auto insurance information,
 - ☐ ☐ updated when it is due to expire, if the employee or agent will be transporting an individual in the employee's or agent's personal vehicle.
 - ☐ ☐ (4) Limited criminal history information
 - ☐ ☐ that meets the requirements of 460 IAC 6-10-5
 - ☐ ☐ with the information updated at least every three (3) years.
 - ☐ ☐ (5) Professional licensure, certification, or registration, including renewals, as applicable.
 - ☐ ☐ (6) A copy of the employee's or agent's driver's license, updated when the driver's license is due to expire.

- ☐ ☐ (7) Copies of:
 - ☐ ☐ (A) the employee's time records; or
 - ☐ ☐ (B) the agent's invoices for services.
- ☐ ☐ (8) Copies of the agenda for each training session attended by the employee or agent, including the following:
 - ☐ ☐ (A) Subject matter included in each training session.
 - ☐ ☐ (B) The date and time of each training session.
 - ☐ ☐ (C) The name of the person or persons conducting each training session.
 - ☐ ☐ (D) Documentation of the employee's or agent's attendance at each training session, signed by:
 - ☐ ☐ (i) the employee or agent; and
 - ☐ ☐ (ii) the trainer.

*** * * Only Required If The Applicant Is An Organization * * ***

Personnel Policies and Manuals – Personnel Policies

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-16-2 Adoption of personnel policies

(a) A provider shall:

- ☐ ☐ (1) adopt and maintain a written personnel policy;
- ☐ ☐ (2) review and update the personnel policy as appropriate; and
- ☐ ☐ (3) distribute the personnel policy to each employee or agent.

(b) The written personnel policy required by subsection (a) shall include at least the following:

- ☐ ☐ (1) A job description for each position, including the following:
 - ☐ ☐ (A) Minimum qualifications for the position.
 - ☐ ☐ (B) Major duties required of the position.
 - ☐ ☐ (C) Responsibilities of the employee in the position.
 - ☐ ☐ (D) The name and title of the supervisor to whom the employee in the position must report.
- ☐ ☐ (2) A procedure for conducting
 - ☐ ☐ reference,
 - ☐ ☐ employment, and
 - ☐ ☐ criminal background checks
 on each prospective employee or agent.
- ☐ ☐ (3) A prohibition against employing or contracting with a person convicted of the offenses listed in 460 IAC 6-10-5.
- ☐ ☐ (4) A process for evaluating the job performance of each employee or agent
 - ☐ ☐ at the end of the training period and
 - ☐ ☐ annually thereafter,
 - ☐ ☐ including a process for feedback from individuals receiving services from the employee or agent.
- ☐ ☐ (5) Disciplinary procedures.
- ☐ ☐ (6) A description of grounds for disciplinary action against or dismissal of an employee or agent.
- ☐ ☐ (7) A description of the rights and responsibilities of employees or agents, including the responsibilities of administrators and supervisors

*** * * IF THE APPLICANT IS AN ORGANIZATION * * ***

Personnel Policies and Manuals – Policy Documentation

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-16-3 Policies and procedures documentation

(a) A provider shall:

- ☐ ☐ (1) adopt and maintain a written training procedure;
- ☐ ☐ (2) review and update the training procedure as appropriate; and
- ☐ ☐ (3) distribute the training procedure to the provider's employees or agents.

(b) The written training procedure required by subsection (a) shall include at least the following:

- ☐ ☐ (1) Mandatory orientation for each new employee or agent to assure the employee's or agent's understanding of, and compliance with:
 - ☐ ☐ (A) the mission, goals, organization, and practices of the provider; **and**
 - ☐ ☐ (B) the applicable requirements of this article.
- ☐ ☐ (2) A system for documenting the training for each employee or agent, including:
 - ☐ ☐ (A) the type of training provided;
 - ☐ ☐ (B) the name and qualifications of the trainer;
 - ☐ ☐ (C) the duration of training;
 - ☐ ☐ (D) the date or dates of training;
 - ☐ ☐ (E) the signature of the trainer, verifying the satisfactory completion of training by the employee or agent; **and**
 - ☐ ☐ (F) the signature of the employee or agent.
- ☐ ☐ (3) A system for ensuring that a trainer has sufficient education, expertise, and knowledge of the subject to achieve listed outcomes required under the system.
- ☐ ☐ (4) A system for providing annual in-service training to improve the competence of employees or agents in the following areas:
 - ☐ ☐ (A) Protection of individual rights, including protection against abuse, neglect, or exploitation.
 - ☐ ☐ (B) Incident reporting.
 - ☐ ☐ (C) Medication administration if the provider administers medication to an individual.

460 IAC 6-16-4 Operations manual

- ☐ ☐ (a) A provider shall compile the written policies and procedures required by sections 1 and 2 of this rule into a written operations manual.
- ☐ ☐ (b) The operations manual shall be regularly updated and revised.
- ☐ ☐ (c) Upon the request of the BDDS, the provider shall:
 - (1) supply a copy of the operations manual to the BDDS or other state agency, at no cost; and
 - (2) make the operations manual available to the BDDS or other state agency for inspection at the offices of the provider.

Personnel Policies and Manuals – Documentation of Services: Documentation Retention

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-17-2 Maintenance of records of services provided

(a) This section applies to all providers.

- ☐ ☐ (b) A provider shall maintain **in the provider's office** documentation of all services provided to an individual.
- ☐ ☐ (c) Documentation related to an individual required by this article shall be maintained by the provider for at least **seven (7) consecutive years**.
- ☐ ☐ (d) A provider shall analyze and update the documentation required by:
 - ☐ ☐ (1) the standards under this article applicable to the services the provider is providing to an individual;
 - ☐ ☐ (2) the professional standards applicable to the provider's profession; **and**
 - ☐ ☐ (3) the individual's ISP.
- ☐ ☐ (e) A provider shall analyze and update the documentation at least every ninety (90) days if:
 - ☐ ☐ (1) the standards under this article do not provide a standard for analyzing and updating documentation;
 - ☐ ☐ (2) the professional standards applicable to the provider's profession do not provide a standard; or
 - ☐ ☐ (3) a standard is not set out in the individual's ISP.

460 IAC 6-17-3 Individual's personal file; site of service delivery

(a) A provider specified in the individual's ISP as being responsible for maintaining the individual's personal file shall maintain a personal file for the individual at:

- ☐ ☐ (1) the individual's residence; or
- ☐ ☐ (2) the primary location where the individual receives services.

(b) The individual's personal file shall contain at least the following information:

- ☐ ☐ (1) The individual's full name.
- ☐ ☐ (2) Telephone numbers for emergency services that may be required by the individual.
- ☐ ☐ (3) A current sheet with a brief summary regarding:
 - ☐ ☐ (A) the individual's diagnosis or diagnoses;
 - ☐ ☐ (B) the individual's treatment protocols, current medications, and other health information specified by the individual's ISP;
 - ☐ ☐ (C) behavioral information about the individual;
 - ☐ ☐ (D) likes and dislikes of the individual that have been identified in the individual's ISP; and
 - ☐ ☐ (E) other information relevant to working with the individual.
- ☐ ☐ (4) The individual's history of allergies, if applicable.
- ☐ ☐ (5) Consent by the individual or the individual's legal representative for emergency treatment for the individual.
- ☐ ☐ (6) A photograph of the individual, if:
 - ☐ ☐ (A) a photograph is available; and
 - ☐ ☐ (B) inclusion of a photograph in the individual's file is specified by the individual's ISP.
- ☐ ☐ (7) A copy of the individual's current ISP.
- ☐ ☐ (8) A copy of the individual's behavioral support plan, if applicable.

Personnel Policies and Manuals – On-Site Documentation

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-17-3 Individual's personal file; site of service delivery

(b) The individual's personal file shall contain at least the following information:

[...]

- ☐ ☐ (9) Documentation of:
 - ☐ ☐ (A) changes in the individual's physical condition or mental status during the last sixty (60) days;
 - ☐ ☐ (B) an unusual event such as vomiting, choking, falling, disorientation or confusion, behavioral problems, or seizures occurring during the last sixty (60) days; and
 - ☐ ☐ (C) the response of each provider to the observed change or unusual event.
- ☐ ☐ (10) If an individual's outcomes include bill paying and other financial matters, the individual's file shall contain:
 - ☐ ☐ (A) the individual's checkbook with clear documentation that the checkbook has been balanced; and
 - ☐ ☐ (B) bank statements with clear documentation that the bank statements and the individual's checkbook have been reconciled.
- ☐ ☐ (11) All environmental assessments conducted during the last sixty (60) days, with the signature of the person or persons conducting the assessment on the assessment.
- ☐ ☐ (12) All medication administration documentation for the last sixty (60) days.
- ☐ ☐ (13) All seizure management documentation for the last sixty (60) days.
- ☐ ☐ (14) Health-related incident management documentation for the last sixty (60) days.
- ☐ ☐ (15) All nutritional counseling services documentation for the last sixty (60) days.
- ☐ ☐ (16) All behavioral support services documentation for the last sixty (60) days.
- ☐ ☐ (17) All outcome directed documentation for the last sixty (60) days.

Personnel Policies and Manuals – Behavioral Support Plan Standards and Policies

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-18-1 Preparation of behavioral support plan

- ☐ ☐ A behavioral support services provider shall prepare a behavioral support plan for an individual only after the provider has:
 - ☐ ☐ (1) directly observed the individual; and
 - ☐ ☐ (2) reviewed reports regarding the individual.

460 IAC 6-18-2 Behavioral support plan standards

- ☐ ☐ (a) A behavioral support plan shall meet the standards set out in this section.
- ☐ ☐ (b) A behavioral support plan shall operationally define the targeted behavior or behaviors.
- ☐ ☐ (c) A behavioral support plan shall be based upon a functional analysis of the targeted behaviors.
- ☐ ☐ (d) A behavioral support plan shall contain written guidelines for teaching the individual functional and useful behaviors to replace the individual's maladaptive behavior.
- ☐ ☐ (e) A behavioral support plan shall use nonaversive methods for teaching functional and useful replacement behaviors.
- ☐ ☐ (f) A behavioral support plan shall conform to the individual's ISP, including the needs and outcomes identified in the ISP and the ISP's specifications for behavioral support services.
- ☐ ☐ (g) A behavioral support plan shall contain documentation that each person implementing the plan:
 - ☐ ☐ (1) has received specific training as provided in the plan in the techniques and procedures required for implementing the behavioral support plan; **and**
 - ☐ ☐ (2) understands how to use the techniques and procedures required to implement the behavioral support plan; **regardless** of whether the person implementing the plan is an employee or agent of the behavioral support services provider.
- (h) A behavioral support plan shall contain a documentation system for direct care staff working with the individual to record episodes of the targeted behavior or behaviors. The documentation system shall include a method to record the following information:
 - ☐ ☐ (1) Dates and times of occurrence of the targeted behavior.
 - ☐ ☐ (2) Length of time the targeted behavior lasted.
 - ☐ ☐ (3) Description of what precipitated the targeted behavior.
 - ☐ ☐ (4) Description of what activities helped alleviate the targeted behavior.
 - ☐ ☐ (5) Signature of staff observing and recording the targeted behavior.
- (i) If the use of medication is included in a behavioral support plan, a behavioral support plan shall contain:
 - ☐ ☐ (1) a plan for assessing the use of the medication and the appropriateness of a medication reduction plan; or
 - ☐ ☐ (2) documentation that a medication use reduction plan for the individual was:
 - ☐ ☐ (A) implemented within the past five (5) years; and
 - ☐ ☐ (B) proved to be not effective.

Personnel Policies and Manuals – Behavioral Support Plan Standards and Policies

Note: The agency must submit a policy, policy manual, and/or procedure manual that includes the below information:

460 IAC 6-18-2 Behavioral support plan standards

[...]

(j) If a highly restrictive procedure is included in a behavioral support plan, a behavioral support plan shall contain the following:

- ☐ ☐ (1) A functional analysis of the targeted behavior for which a highly restrictive procedure is designed.
- ☐ ☐ (2) Documentation that the risks of the targeted behavior have been weighed against the risk of the highly restrictive procedure.
- ☐ ☐ (3) Documentation that systematic efforts to replace the targeted behavior with an adaptive skill were used and found to be not effective.
- ☐ ☐ (4) Documentation that the individual, the individual's support team and the applicable human rights committee agree that the use of the highly restrictive method is required to prevent significant harm to the individual or others.
- ☐ ☐ (5) Informed consent from the individual or the individual's legal representative.
- ☐ ☐ (6) Documentation that the behavioral support plan is reviewed regularly by the individual's support team.

460 IAC 6-18-3 Written policy and procedure standards

A provider of behavioral support services shall have written policies and procedures that:

- ☐ ☐ (1) limit the use of highly restrictive procedures, including physical restraint or medications to assist in the managing of behavior; and
- ☐ ☐ (2) focus on behavioral supports that begin with less intrusive or restrictive methods before more intrusive or restrictive methods are used.

460 IAC 6-18-4 Documentation standards

- ☐ ☐ (a) A provider of behavioral support services shall maintain documentation regarding the development of a behavioral support plan that:
 - ☐ ☐ (1) the least intrusive method was attempted and exhausted first; and
 - ☐ ☐ (2) if a highly restrictive procedure is deemed to be necessary and included in a behavioral support plan, the actions required by section 2(j) of this rule have been taken.
- ☐ ☐ (b) A provider of behavioral support services shall maintain the following documentation for each individual served:
 - ☐ ☐ (1) A copy of the individual's behavioral support assessment.
 - ☐ ☐ (2) If applicable, the individual's behavioral support plan.
 - ☐ ☐ (3) Dates, times, and duration of each visit with the individual.
 - ☐ ☐ (4) A description of the behavioral support activities conducted.
 - ☐ ☐ (5) A description of behavioral support progress made.
 - ☐ ☐ (6) The signature of the person providing the behavioral support services on each date the behavioral support service is provided.

460 IAC 6-18-5 Level 2 clinician standards

- ☐ ☐ (a) If a behavioral support plan is developed by a Level 2 clinician, the Level 2 clinician shall be supervised by a Level 1 clinician.
- ☐ ☐ (b) A Level 1 clinician shall give written approval of all behavioral support plans developed by a Level 2 clinician.

460 IAC 6-18-6 Implementation of behavioral support plan

- ☐ ☐ All providers working with an individual shall implement the behavioral support plan designed by the individual's behavioral support services provider.

Criminal History, Org Chart, Management Experience “Cheat Sheet”

When an agency staff member or staff position is mentioned, write it on this chart, noting where it was mentioned in the proposal. This enables easy checks between the body of the proposal, the Organizational chart, the Criminal Histories, and the Managerial Abilities.

Name of staff Position	Criminal History	Organization Chart / Position Descriptions	Managerial Experience / Certifications
	No violations on <input type="checkbox"/> <input type="checkbox"/> State CH <input type="checkbox"/> <input type="checkbox"/> County CH <input type="checkbox"/> <input type="checkbox"/> CNA registry <input type="checkbox"/> <input type="checkbox"/> Out of State <input type="checkbox"/> <input type="checkbox"/> Out of County	<input type="checkbox"/> <input type="checkbox"/> Position matches the org. chart <input type="checkbox"/> <input type="checkbox"/> Name matches the org. chart Job Description: <input type="checkbox"/> <input type="checkbox"/> includes major duties required <input type="checkbox"/> <input type="checkbox"/> includes responsibilities <input type="checkbox"/> <input type="checkbox"/> includes the name / title of the supervisor <input type="checkbox"/> <input type="checkbox"/> matches the org. chart	<input type="checkbox"/> <input type="checkbox"/> Staff or Position is at Managerial level <input type="checkbox"/> <input type="checkbox"/> Resume <input type="checkbox"/> <input type="checkbox"/> Diploma/transcript (if the resume so reflects) <input type="checkbox"/> <input type="checkbox"/> Certifications (if the resume so reflects) <input type="checkbox"/> <input type="checkbox"/> Licensure (if the resume so reflects) <input type="checkbox"/> <input type="checkbox"/> Managerial ability/experience: _____ <input type="checkbox"/> <input type="checkbox"/> History of involvement with DD Population
	No violations on <input type="checkbox"/> <input type="checkbox"/> State CH <input type="checkbox"/> <input type="checkbox"/> County CH <input type="checkbox"/> <input type="checkbox"/> CNA registry <input type="checkbox"/> <input type="checkbox"/> Out of State <input type="checkbox"/> <input type="checkbox"/> Out of County	<input type="checkbox"/> <input type="checkbox"/> Position matches the org. chart <input type="checkbox"/> <input type="checkbox"/> Name matches the org. chart Job Description: <input type="checkbox"/> <input type="checkbox"/> includes major duties required <input type="checkbox"/> <input type="checkbox"/> includes responsibilities <input type="checkbox"/> <input type="checkbox"/> includes the name / title of the supervisor <input type="checkbox"/> <input type="checkbox"/> matches the org. chart	<input type="checkbox"/> <input type="checkbox"/> Staff or Position is at Managerial level <input type="checkbox"/> <input type="checkbox"/> Resume <input type="checkbox"/> <input type="checkbox"/> Diploma/transcript (if the resume so reflects) <input type="checkbox"/> <input type="checkbox"/> Certifications (if the resume so reflects) <input type="checkbox"/> <input type="checkbox"/> Licensure (if the resume so reflects) <input type="checkbox"/> <input type="checkbox"/> Managerial ability/experience: _____ <input type="checkbox"/> <input type="checkbox"/> History of involvement with DD Population
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